

FISCAL YEAR 2006

**CONTRACTOR PERFORMANCE EVALUATION
AND MEASUREMENT PLAN**

for

Management and Operation of the

Ames Laboratory

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INTRODUCTION{ TC "INTRODUCTION" \f C \l "1" }

This document describes the primary measurement basis for DOE's Quality Assurance/Surveillance Plan (QASP) for the evaluation of Iowa State University (ISU) (hereafter referred to as "the Contractor") performance regarding the management and operations of the Ames Laboratory (hereafter referred to as "the Laboratory") for the evaluation period from October 1, 2005, through September 30, 2006. The performance evaluation provides a standard by which to determine whether the Contractor is managerially and operationally in control of the Laboratory and is meeting the mission and requirement performance expectations/objectives of the Department as stipulated within this contract.

This document also describes the distribution of the total available performance-based fee and the methodology for determining the amount of fee earned by the Contractor as stipulated within the clauses I.82 entitled, "Total Available Fee: Base Fee Amount and Performance Fee Amount," I.83 entitled "Conditional Payment of Fee, Profit, and Other Incentives-Facility Management Contracts" and "Section B.3 entitled "Performance Fees". In partnership with the Contractor and other key customers, the Department of Energy (DOE) Headquarters (HQ) and the Ames Site Office (AMSO) have defined the measurement basis that serves as the Contractor's performance-based evaluation and fee determination. The measurement basis described in this document utilizes, to the extent possible, a set of "Performance Goals", "Performance Objectives", "Performance Measures", and "Performance Targets" against which DOE will assess the Contractors' performance for each area identified herein.

The Performance Goals (hereafter referred to as Goals), Performance Objectives (hereafter referred to as Objectives) and set of Key Performance Measures (hereafter referred to as Measures) for each Objective discussed herein were developed in accordance with contract expectations set forth within the contract. The Measures for meeting the Objectives set forth within this plan have been developed in coordination with the Office of Science and with support from subject matter experts in each operational area from the Chicago Office. Except as otherwise provided for within the contract, the evaluation and fee determination will rest primarily on the Contractor's performance within the Performance Goals and Objectives set forth within this plan. Other information sources available to the evaluator in determining an overall performance rating may include, but not be limited to, review results, general performance, achievements, planning efforts, initiatives, efficiencies, and compliance.

The overall performance against each Objective of this performance plan, to include the evaluation of Measures identified for each Objective, shall be evaluated jointly by the HQ program offices and the Ames Site Office (AMSO). This cooperative review methodology will ensure that the overall evaluation of the Contractor results in a consolidated DOE position taking into account specific Measures as well as all additional information not otherwise identified via specific Measures. AMSO shall work closely with the program office throughout the year in evaluating the Contractor's performance and will provide observations regarding programs and projects as well as other management and operation activities conducted by the Contractor throughout the year and will provide a written mid-year evaluation.

Section I provides information on how the performance rating (grade) for the Contractor, as well as how the performance-based fee earned (if any) will be determined.

Section II provides the detailed information concerning each Goal, their corresponding Objectives, and Key Measures of performance identified, along with the weightings assigned to each Goal and Objective and a table for calculating the final score for each Goal.

I. DETERMINING THE CONTRACTOR'S PERFORMANCE RATING AND PERFORMANCE-BASED FEE{ TC "I. DETERMINING THE CONTRACTOR'S PERFORMANCE RATING AND PERFORMANCE-BASED FEE" \f C \l "1" }

The DOE Office of Science (SC) developed a common set of Performance Goals and Objectives for the SC laboratories, including Ames. The Ames Laboratory Performance Evaluation and Measurement Plan uses the standardized set of Performance Goals and Performance Objectives and applies weightings to each.

AMSO and the HQ program offices, in coordination with the Contractor, developed Performance Measures and as applicable, targets for each Performance Objective. The Performance Measures and Targets identify significant activities, requirements, and/or milestones important to the success of the corresponding Performance Objective and will be the primary means of determining the Contractor's success in meeting the Performance Objective. The Performance Measures for each Performance Objective were developed so as to indicate, if fully met, the performance level required to obtain a "B+" evaluation grade. For some targets, it serves the evaluator to provide additional grading details (for example at the A, C+ and D levels) and in those cases these details have been included in the PEMP. However these should be considered as guidelines that do not restrict the evaluator from considering other factors that contribute to the evaluation.

The following descriptions define each performance (measurement) level.

Level 1 - Performance Goal: A general overarching statement of the desired outcome for each major performance area that will be scored and reported annually under the appraisal process.

Level 2 - Performance Objective: A statement of desired results for an organization or activity. Note: The set of Performance Measures identified should be the primary means for determining the Contractor's performance in meeting the Performance Objective; however, other performance information available to the evaluator from other sources may be utilized in determining the overall performance rating of a Performance Objective.

Level 3 - Performance Measure: A quantitative or qualitative method for characterizing performance to assist the reviewer in assessing achievement of the corresponding Performance Objective (i.e., what you would measure).

Level 4 - Performance Target: The desired condition, milestone, or target level of achievement for each Performance Measure (objective or subjective as appropriate), established at an appropriately detailed level that can be tracked and used for a judgment or decision on performance assessment.

The FY 2006 Contractor performance grades will be determined based on the weighted sum of the individual scores earned for each of the Goals described within this document for Science and Technology and for Management and Operations (see Table A below). No overall rollup grade will be provided. Performance evaluations shall be measured and graded at the Objective level, which rollup to provide the performance evaluation determination for each Goal. Performance evaluations will be rolled up for an overall grade for Science and Technology and for Management and Operations. The rollup of the performance of each Goal will then be utilized to determine the overall Contractor performance grade for Science and Technology and Management and Operations. The total overall points derived for Science and Technology will be utilized to determine the amount of available fee that may be earned (see Table B). The overall points derived for Management and Operations will be utilized to determine the multiplier to be applied (see Table C) to the Science and Technology fee earned to determine the final amount of fee earned for FY 2006. Each Goal is composed of two or more weighted Objectives and each Objective has a set of Measures, which are identified to assist the reviewer in determining the Contractor's overall performance in meeting that Objective. Each of the Measures identifies significant activities, requirements, and/or milestones important to the success of the corresponding Objective and shall be utilized as the primary means of determining the Contractor's success in meeting the Objective. Although these key indicators are the primary means for determining performance, other performance information available to the evaluating office from other sources to include, but not limited to, the Contractor's self-evaluation report, operational awareness (daily oversight) activities; "For Cause" reviews (if any) and other outside agency reviews (OIG, GAO etc.) may be utilized in determining the Contractor's overall success in meeting an Objective. The following describes the methodology for determining the Contractor's grade for each Goal:

Performance Evaluation Methodology:

Each Objective within a Goal shall be assigned a numerical score, per Figure I-1 below, by the evaluating office. Each evaluation will measure the degree of effectiveness and performance of the Contractor in meeting the Objective and shall be based on the Contractor's success in meeting the set of Key Measures

identified for each Objective as well as other performance information available to the evaluating office from other sources as identified above. The set of Measures identified for each Objective represent the set of significant indicators that if fully met, collectively places performance for the Objective in the “B+” grade range.

Letter Grade	Numeric Grade	Definition
A+	4.3 – 4.1	Significantly exceeds expectations of performance as set within key performance measures identified for each Objective or within other areas within the purview of the Objective. Areas of notable performance have or have the potential to significantly improve the overall mission of the Laboratory. No specific deficiency noted within the purview of the overall Objective being evaluated.
A	4.0 – 3.8	Notably exceeds expectations of performance as set within key performance measures identified for each Objective or within other areas within the purview of the Objective. Areas of notable performance either have or have the potential to improve the overall mission of the Laboratory. Minor deficiencies noted are more than offset by the positive performance within the purview of the overall Objective being evaluated and have no potential to adversely impact the mission of the Laboratory.
A-	3.7 – 3.5	Meets expectations of performance as set within key performance measures identified for each Objective with some notable areas of increased performance identified. Deficiencies noted are offset by the positive performance within the purview of the overall Objective being evaluated with little or no potential to adversely impact the mission of the Laboratory.
B+	3.4 – 3.1	Meets expectations of performance as set by the key performance measures identified for each Objective with no notable areas of increased or diminished performance identified. Deficiencies identified are offset by positive performance and have little to no potential to adversely impact the mission of the Laboratory.
B	3.0 – 2.8	Most expectations of performance as set by the key performance measures identified for each Objective are met and/or other minor deficiencies are identified. Key performance measures or other minor deficiencies identified are offset by positive performance within the purview of the Objective and have little to no potential to adversely impact the mission of the Laboratory.
B-	2.7 – 2.5	One or two expectations of performance set by the key performance measures are not met and/or other deficiencies are identified and although they may be offset by other positive performance, they may have the potential to negatively impact the Objective or overall Laboratory mission accomplishment.
C+	2.4 – 2.1	Some expectations of performance set by the key performance measures are not met and/or other minor deficiencies are identified and although they may be offset by other positive performance, they may have the potential to negatively impact the Objective or overall Laboratory mission accomplishment.
C	2.0 – 1.8	A number of expectations as set by the key performance measures are not met and/or a number of other deficiencies are identified and although they may be somewhat offset by other positive performance, they have the potential to negatively impact the Objective or overall Laboratory mission accomplishment.
C-	1.7 – 1.1	Most expectations as set by the key performance measures are not met

Letter Grade	Numeric Grade	Definition
		and/or other major deficiencies are identified which have or will negatively impact the Objective or overall Laboratory mission accomplishment if not immediately corrected.
D	1.0 – 0.8	Most or all expectations as set by the key performance measures are not met and/or other significant deficiencies are identified which have negatively impacted the Objective and/or overall Laboratory mission accomplishment.
F	0.7 – 0	All expectations as set by the key performance measures are not met and/or other significant deficiencies are identified which have significantly impacted both the Objective and the accomplishment of the Laboratory mission.

Figure I-1. Letter Grade and Numerical Score Definitions

Calculating Individual Goal Scores and Letter Grade:

Each Objective is assigned the earned numerical score by the evaluating DOE office as stated above. The Goal rating is then computed by multiplying the numerical score by the weight of each Objective within a Goal. These values are then added together to develop an overall score for each Goal. A set of tables is provided at the end of each Performance Goal section of this document to assist in the calculation of Objective scores to the Goal score. Utilizing Table A, below, the scores for each of the Science and Technology (S&T) Goals and Management and Operations (M&O) Goals are then multiplied by the weight assigned and these are summed to provide an overall score for each. The total score for Science and Technology and Management and Operations is compared to the letter grade scale found in Table B, below, to determine the overall S&T and M&O grades for FY 2006.

The raw score (rounded to the nearest hundredth) from each calculation shall be carried through to the next stage of the calculation process. The raw score for Science and Technology and Management and Operations will be rounded to the nearest tenth of a point for purposes of identifying the overall letter grade as indicated in Table B and for utilization in determining fee as indicated in Table C. A standard rounding convention of x.44 and less rounds down to the nearest tenth (here, x.4), while x.45 and greater rounds up to the nearest tenth (here, x.50).

S&T Performance Goal¹	Numerical Score	Letter Grade	Weight	Weighted Score	Total Score
1.0 Mission Accomplishment			65.6		
2.0 Construction and Operations of User Research Facilities and Equipment			4.55		
3.0 Science and Technology Research Project/Program Management			29.85		
Total Score					
M&O Performance Goal	Numerical Score	Letter Grade	Weight	Weighted Score	Total Score
4.0 Leadership and Stewardship of the Laboratory			20%		
5.0 Integrated Safety, Health, and Environmental Protection			30%		
6.0 Business Systems			20%		
7.0 Operating, Maintaining, and Renewing Facility and Infrastructure Portfolio			20%		
8.0 Integrated Safeguards and Security Management and Emergency Management Systems			10%		
Total Score					

Table A. FY 2006 Contractor Evaluation Score Calculation

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table B. FY 2006 Contractor Letter Grade Scale

Determining the Amount of Performance-Based Fee Earned:

The maximum fee for Ames Laboratory for FY 2006 equals \$125,000. The percentage of this available performance-based fee that may be earned by the Contractor shall be determined based on the overall weighted score for the S&T Goals (see Table A. above) and then compared to Table C. below. The overall numerical score of the M&O Goals from Table A. above shall then be utilized to determine the final fee multiplier (see Table C.), which shall be utilized to determine the overall amount of performance-based fee earned for FY 2006 as calculated within Table D.

¹ Weightings for each S&T Goal listed within Table A are preliminary, based on the averaged SC Program Office weightings according to the percentage of FY 2005 Budget Authority for each. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2006.

Overall Weighted Score from Table A.	Percent S&T Fee Earned	M&O Fee Multiplier
4.3	100%	100%
4.2		
4.1		
4.0	97%	100%
3.9		
3.8		
3.7	94%	100%
3.6		
3.5		
3.4	91%	100%
3.3		
3.2		
3.1		
3.0	88%	95%
2.9		
2.8		
2.7	85%	90%
2.6		
2.5		
2.4	75%	85%
2.3		
2.2		
2.1		
2.0	50%	75%
1.9		
1.8		
1.7	0%	60%
1.6		
1.5		
1.4		
1.3		
1.2		
1.1		
1.0 to 0.8	0%	0%
0.7 to 0.0	0%	0%

Table C. - Performance-Based Fee Earned Scale

Overall Fee Determination	
Percent S&T Fee Earned from Table C.	
M&O Fee Multiplier from Table C.	X
Total Percent Earned Fee	

**Table D. – Final Percentage of Performance-Based
Fee Earned Determination**

Total Percent Earned Fee X \$125,000 = Total Fee for FY 2006

Adjustment to the Letter Grade and/or Performance-Based Fee Determination:

The lack of performance objectives and measures in this plan do not diminish the need to comply with minimum contractual requirements. Although the performance-based Goals and their corresponding Objectives shall be the primary means utilized in determining the Contractor's performance grade and/or amount of performance-based fee earned, the Contracting Officer may unilaterally adjust the rating and/or reduce the otherwise earned fee based on the Contractor's performance against all contract requirements as set forth in the clauses entitled "Conditional Payment of Fee, Profit, and Other Incentives – Facility Management Contracts." Data to support rating and/or fee adjustments may be derived from other sources to include, but not limited to, operational awareness (daily oversight) activities; "For Cause" reviews (if any) and other outside agency reviews (OIG, GAO etc.).

The adjustment of a grade and/or reduction of otherwise earned fee will be determined by the severity of the performance failure and mitigating factors as set forth by the policies described in Acquisition Regulation; Conditional Payment of Fee, Profit, and Other Incentives interim final rule published in 68 Fed. Reg. 68771, Dec. 10, 2003. The final Contractor performance-based rating and fee earned determination will be contained within a year-end report, documenting the results from the DOE review. The report will identify areas where performance improvement is necessary and, if required, provide the basis for any performance-based rating and/or fee adjustments made from the otherwise earned rating/fee based on Performance Goal achievements.

II. PERFORMANCE GOALS, OBJECTIVES & PERFORMANCE MEASURES{ TC "II. PERFORMANCE GOALS, OBJECTIVES & PERFORMANCE MEASURES" \f C \l "1" }

Background{ TC "Background" \f C \l "1" }

The current performance-based management approach to oversight within DOE places emphasis on the customer-supplier partnership between DOE and the laboratory contractors and focuses on the mission performance, best business practices, cost management, and improving contractor accountability. Under the performance-based management system the DOE develops an annual performance plan to assess the contractor's performance in accordance with contract requirements. The DOE policy for implementing performance-based management includes the following guiding principles:

- Performance objectives are established in partnership with affected organizations and are directly aligned to the DOE strategic goals;
- Resource decisions and budget requests are tied to results; and
- Results are used for management information, establishing accountability, and driving long-term improvements.

The performance-based approach focuses the evaluation of the Contractor's performance against these Performance Goals. Progress against these Goals is measured through the use of a set of Objectives. The success of each Objective will be measured based on a set of Key Performance Measures, both objective and subjective, which focus primarily on end-results. Measures provide specific evidence of performance, and collectively, they provide the body of evidence that indicates performance relative to the corresponding Objectives. On occasion however, it may be necessary to include a process/activity-oriented measure when there is a need for the Contractor to develop a system or process that does not currently exist but will be of significant importance to the DOE and the Laboratory when completed or that lead to the desired outcome/result.

Performance Goals, Objectives, and Key Performance Measures{ TC "Performance Goals, Objectives, and Key Performance Measures" \f C \l "1" }

The following sections describe the Performance Goals, their supporting Objectives, and associated key performance measures for FY 2006.

1.0 Provide for Efficient and Effective Mission Accomplishment{ TC "1.0 Provide for Efficient and Effective Mission Accomplishment" \f C \l "1" }

The Contractor produces high-quality, original, and creative results that advance science and technology; demonstrates sustained scientific progress and impact; receives appropriate external recognition of accomplishments; and contributes to overall research and development goals of the Department and its customers.

The weight of this Goal is 65.6%.

The Provide for Efficient and Effective Mission Accomplishment Goal measures the overall effectiveness and performance of the Contractor in delivering science and technology results which contribute to and enhance the DOE's mission of protecting our national and economic security by providing world-class scientific research capacity and advancing scientific knowledge by supporting world-class, peer-reviewed scientific results, which are recognized by others.

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science Program Office as identified below. The overall Goal score from each Program Office is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 1.1). Weightings for each office listed below are preliminary, based upon FY 2005 Budget Authority figures, and are provided here for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2006.

- Office of Basic Energy Sciences (BES) (91%)
- Office of Advanced Scientific Computing Research (ASCR) (6%)
- Office of Biological and Environmental Research (BER) (3%)
- Office of Workforce Development for Teachers and Scientists (WDTS) (<1%)

The overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see Table 1.2 below). The overall score earned is then compared to Table 1.3 to determine the overall letter grade for this Goal. Individual Program Office weightings for each of the Objectives identified below are provided within Table 1.1. The Contractor's success in meeting each Objective shall be determined based on the Contractor's performance as viewed by the Office of Science Program Offices for which the Laboratory conducts work.

Objectives:

1.1 Science and Technology Results Provide Meaningful Impact on the Field{ TC "1.1 Science and Technology Results Provide Meaningful Impact on the Field" \f C \l "1" }

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.:

- The impact of publications on the field;
- Publication in journals outside the field indicating broad impact;
- Impact on DOE or other customer mission(s);
- Successful stewardship of mission-relevant research areas;
- Significant awards (R&D 100, FLC, Nobel Prizes, etc.);
- Invited talks, citations, making high-quality data available to the scientific community; and
- Development of tools and techniques that become standards or widely-used in the scientific community.

A to A+	Changes the way the research community thinks about a particular field; resolves critical questions and thus moves research areas forward; results generate huge interest/enthusiasm
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	in the field.
B+	Impacts the community as expected. Strong peer review comments in all relevant areas.
B	Not strong peer review comments in at least one significant research area.
C	One research area just not working out. Peer review reveals that a program isn't going anywhere.
D	Failure of multiple program elements.
F	Gross scientific incompetence and/or scientific fraud.

1.2 Provide Quality Leadership in Science and Technology{ TC "1.2 Provide Quality Leadership in Science and Technology" \f C \l "1" }

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by progress reports, peer reviews, Program Office reviews/oversight, etc.:

- Willingness to pursue novel approaches and/or demonstration of innovative solutions to problems;
- Willingness to take on high-risk/high payoff/long-term research problems, evidence that the Contractor “guessed right” in that previous risky decisions proved to be correct and are paying off;
- The uniqueness and challenge of science pursued, recognition for doing the best work in the field;
- Extent of collaborative efforts, quality of the scientists attracted and maintained at the Laboratory;
- Staff members visible in leadership position in the scientific community; and
- Effectiveness in driving the direction and setting the priorities of the community in a research field.

A to A+	Laboratory staff lead Academy or equivalent panels; laboratory's work changes the direction of research fields; world-class scientists are attracted to the laboratory, lab is trend-setter in a field.
B+	Strong research performer in most areas; staff asked to speak to Academy or equivalent panels to discuss further research directions; lab is center for high-quality research and attracts full cadre of researchers; some aspects of programs are world-class.
B	Strong research performer in many areas; staff asked to speak to Academy or equivalent panels to discuss further research directions; few aspects of programs are world-class.
C	Working on problems no longer at the forefront of science; stale research; evolutionary, not revolutionary.
D	Failure of multiple program elements.
F	Gross scientific incompetence and/or scientific fraud.

1.3 Provide and sustain Science and Technology Outputs that Advance Program Objectives and Goals{ TC "1.3 Provide and sustain Science and Technology Outputs that Advance Program Objectives and Goals" \f C \l "1" }

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.:

- The number of publications in peer-reviewed journals;
- The quantity of output from experimental and theoretical research; and
- Demonstrated progress against peer reviewed recommendations, headquarters guidance, etc.

Pass	Not failing; see below.
Fail	Peer reviewers not satisfied; output not meeting general scientific standards; minimal progress against FWPs.

Note: The numerical grade for “Pass” is 4.3 and for “Fail” it is 0.7

1.4 **Provide for Effective Delivery of Science and Technology**{ TC "1.4 Provide for Effective Delivery of Science and Technology" \f C \l "1" }

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by progress reports, peer reviews, Field Work Proposals (FWPs), Approved Financial Plans (AFPs), Program Office reviews/oversight, etc.:

- Efficiency and effectiveness in meeting goals and milestones;
- Efficiency and effectiveness in delivering on promises, and getting instruments to work as promised; and
- Efficiency and effectiveness in transmitting results to the community and responding to DOE or other customer guidance.

Pass	Not failing; (see numerical grades)
Fail	Peer reviewers not satisfied; significant number of milestones not met, results not delivered to community while it matters..

Note: The numerical grade for "Pass" is 4.3 and for "Fail" it is 0.7

Science Program Office ²	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Basic Energy Sciences					
1.1 Impact			50%		
1.2 Leadership			20%		
1.3 Output			15%		
1.4 Delivery			15%		
Overall BES Total					
Office of Advanced Scientific Computing Research					
1.1 Impact			40%		
1.2 Leadership			30%		
1.3 Output			15%		
1.4 Delivery			15%		
Overall ASCR Total					
Office of Biological and Environmental Research					
1.1 Impact			30%		
1.2 Leadership			20%		
1.3 Output			20%		
1.4 Delivery			30%		
Overall BER Total					
Office of Workforce Development for Teachers and Scientists					
1.1 Impact			25%		
1.2 Leadership			30%		
1.3 Output			30%		
1.4 Delivery			15%		
Overall WDTS Total					

Table 1.1 – 1.0 Program Office Performance Goal Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Basic Energy Sciences			91%		
Office of Advanced Scientific Computing Research			6%		
Office of Biological and Environmental Research			3%		
Office of Workforce Development for Teachers and Scientists			<1%		
Performance Goal 1.0 Total					

Table 1.2 – Overall Performance Goal Score Development³

² A complete listing of the S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I to this plan.

³ Weightings for each Customer listed within Table 1.2 are preliminary, based upon FY 2005 Budget Authority figures, and are provided for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2006.

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 1.3 – 1.0 Goal Final Letter Grade

2.0 Provide for Efficient and Effective Design, Fabrication, Construction and Operations of Research Facilities{ TC "2.0 Provide for Efficient and Effective Design, Fabrication, Construction and Operations of Research Facilities" \f C \l "1" }

The Contractor provides effective and efficient strategic planning; fabrication, construction and/or operations of Laboratory research facilities; and is responsive to the user community.

The weight of this Goal is 4.55%.

The Provide for Efficient and Effective Design, Fabrication, Construction and Operations of Research Facilities Goal shall measure the overall effectiveness and performance of the Contractor in planning for and delivering leading-edge specialty research and/or user facilities to ensure the required capabilities are present to meet today's and tomorrow's complex challenges. It also measures the Contractor's innovative operational and programmatic means for implementation of systems that ensures the availability, reliability, and efficiency of these facilities; and the appropriate balance between R&D and user support.

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science Program Office as identified below. The overall Goal score from each Program Office is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 2.1). Weightings for each office listed below are preliminary, based upon FY 2005 Budget Authority figures, and are provided here for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2006.

- Office of Basic Energy Sciences (BES) (91%)
- Office of Advanced Scientific Computing Research (ASCR) (6%)
- Office of Biological and Environmental Research (BER) (3%)
- Office of Workforce Development for Teachers and Scientists (WDTS) (<1%)

The overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see Table 2.2 below). The overall score earned is then compared to Table 2.3 to determine the overall letter grade for this Goal. Individual Program Office weightings for each of the Objectives identified below are provided within Table 2.1. The Contractor's success in meeting each Objective shall be determined based on the Contractor's performance as viewed by DOE HQ Office of Science's (SC) Program Offices for which the Laboratory conducts work.

Objectives:

2.1 Provide Effective Facility Design(s) as Required to Support Laboratory Programs (i.e., activities leading up to CD-2){ TC "2.1 Provide Effective Facility Design(s) as Required to Support Laboratory Programs (i.e., activities leading up to CD-2)" \f C \l "1" }

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by scientific/technical workshops developing pre-conceptual R&D, progress reports, Lehman reviews, Program/Staff Office reviews/oversight, etc.:

- Effectiveness of planning of preconceptual R&D and design for life-cycle efficiency;
- Leverage of existing facilities at the site;
- Delivery of accurate and timely information needed to carry out the critical decision and budget formulation process; and
- Ability to meet the intent of DOE Order 413.3, Program and Project Management for the Acquisition of Capital Assets.

A to	In addition to meeting all measures under B ⁺ , the laboratory is recognized by the research
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A+	community as the leader for making the science case for the acquisition; Takes the initiative to demonstrate the potential for revolutionary scientific advancement. Identifies, analyzes and champions novel approaches for acquiring the new capability, including leveraging or extending the capability of existing facilities and financing. Proposed approaches are widely regarded as innovative, novel, comprehensive, and potentially cost-effective. Reviews repeatedly confirm potential for scientific discovery in areas that support the Department's mission, and potential to change a discipline or research area's direction.
B+	Provides the overall vision for the acquisition. Displays leadership and commitment to achieving the vision within preliminary estimates that are defensible and credible in terms of cost, schedule and performance; develops quality analyses, preliminary designs, and related documentation to support the approval of the mission need (CD-0), the alternative selection and cost range (CD-1) and the performance baseline (CD-2). Solves problems and addresses issues. Keeps DOE apprised of the status, near-term plans and the resolution of problems on a regular basis. Anticipates emerging issues that could impact plans and takes the initiative to inform DOE of possible consequences.
B	Fails to meet expectations in one of the areas listed under B+.
C	The laboratory team develops the required analyses and documentation in a timely manner. However, inputs are mundane and lack innovation and commitment to the vision of the acquisition.
D	The potential exists for credible science and business cases to be made for the acquisition, but the laboratory fails to take advantage of the opportunity.
F	Proposed approaches are based on fraudulent assumptions; the science case is weak to non-existent, the business case is seriously flawed.

2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components (execution phase, Post CD-2 to CD-4){ TC "2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components (execution phase, Post CD-2 to CD-4)" \f C \l "1" }

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by progress reports, Lehman reviews, Program/Staff Office reviews/oversight, etc.:

- Adherence to DOE Order 413.3 Project Management for the Acquisition of Capital Assets;
- Successful fabrication of facility components
- Effectiveness in meeting construction schedule and budget; and
- Quality of key staff overseeing the project(s).

A to A+	Laboratory has identified and implemented practices that would allow the project scope to be increased if such were desirable, without impact on baseline cost or schedule; Laboratory always provides exemplary project status reports on time to DOE and takes the initiative to communicate emerging problems or issues. There is high confidence throughout the execution phase that the project will meet its cost/schedule performance baseline; Reviews identify environment, safety and health practices to be exemplary.
B+	The project meets CD-2 performance measures; the laboratory provides sustained leadership and commitment to environment, safety and health; reviews regularly recognize the laboratory for being proactive in the management of the execution phase of the project; to a large extent, problems are identified and corrected by the laboratory with little, or no impact on scope, cost or schedule; DOE is kept informed of project status on a regular basis; reviews regularly indicate project is expected to meet its cost/schedule performance baseline.
B	The project fails to meet expectations in one of the areas listed under B+.
C	Reviews indicate project remains at risk of breaching its cost/schedule performance baseline; Laboratory commitment to environment, safety and health issues is adequate; Reports to DOE can vary in degree of completeness; Laboratory commitment to the project appears to be

	subsiding.
D	Reviews indicate project is likely to breach its cost/schedule performance baseline; and/or Laboratory commitment to environment, safety and health issues is inadequate; reports to DOE are largely incomplete; laboratory commitment to the project has subsided.
F	Laboratory falsifies data during project execution phase; shows disdain for executing the project within minimal standards for environment, safety or health, fails to keep DOE informed of project status; reviews regularly indicate that the project is expected to breach its cost/schedule performance baseline.

2.3 Provide Efficient and Effective Operation of Facilities{ TC "2.3 Provide Efficient and Effective Operation of Facilities" \f C \l "1" }

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by progress reports, peer reviews, Program/Staff Office reviews/oversight, performance against benchmarks, Approved Financial Plans (AFPs), etc.:

- Availability, reliability, and efficiency of facility(ies);
- Degree the facility is optimally arranged to support community;
- Whether R&D is conducted to develop/expand the capabilities of the facility(ies);
- Effectiveness in balancing resources between facility R&D and user support; and
- Quality of the process used to allocate facility time to users.

A to A+	Performance of the facility exceeds expectations as defined before the start of the year in any of these categories: cost of operations, users served, availability, beam delivery, or luminosity and this performance can be directly attributed to the efforts of the laboratory; and/or: the schedule and the costs associated with the ramp-up to steady state operations are less than planned and are acknowledged to be 'leadership caliber' by reviews; Data on ES&H continues to be exemplary and widely regarded as among the 'best in class'.
B+	Performance of the facility meets expectations as defined before the start of the year in all of these categories: cost of operations, users served, availability, beam delivery, or luminosity, and this performance can be directly attributed to the efforts of the laboratory; and/or: the schedule and the costs associated with the ramp-up to steady state operations occur as planned; Data on ES&H continues to be very good as compared with other projects in the DOE.
B	The project fails to meet expectations in one of the areas listed under B+.
C	Performance of the facility fails to meet expectations in several of the areas listed under B+; for example, the cost of operations is unexpectedly high and availability beam delivery, or luminosity, of the facility is unexpectedly low, the number of users is unexpectedly low, availability, beam delivery or luminosity is well below expectations. Acquisition operates at steady state, on cost and on schedule, but the reliability of performance is somewhat below planned values, <u>or</u> acquisition operates at steady state, but the associated schedule and costs exceed planned values. Commitment to ES&H is satisfactory.
D	Performance of the facility fails to meet expectations in many of the areas listed under B+; for example, the cost of operations is unexpectedly high and availability of the facility is unexpectedly low. Acquisition operates somewhat below steady state, on cost and on schedule, and the reliability performance is somewhat below planned values, <u>or</u> acquisition operates at steady state, but the schedule and costs associated exceed planned values. Commitment to ES&H is satisfactory.
F	The facility fails to operate; acquisition operates well below steady state and/or the reliability of the performance is well below planned values.

2.4 Effective Utilization of Facility(ies) to Grow and Support the Laboratory's Research Base{ TC "2.4 Effective Utilization of Facility(ies) to Grow and Support the Laboratory's Research Base" f C \l "1" }

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by peer reviews, participation in international design teams, Program/Staff Office reviews/oversight, etc.:

- Contractor's efforts to take full advantage of the facility to strengthen the Laboratory's research base; and
- Conversely the facility is strengthened by a resident research community that pushes the envelope of what the facility can do and/or are among the scientific leaders using the facility.

A to A+	Reviews document how multiple disciplines are using the facility in new and novel ways and reviews document that full advantage has been taken of the facility to strengthen the laboratory's research base.
B⁺	Reviews state strong and effective team approach exists toward establishing an internal user community; laboratory is capitalizing on existence of facility to grow internal capabilities.
B	Reviews state that lab is establishing an internal user community, but laboratory is still not capitalizing fully on existence of facility to grow internal capabilities.
C	Reviews state that the laboratory has made satisfactory use of the facility, but has not demonstrated much innovation.
D	Few indigenous staff use the facility, with none using it in novel ways; research base is very thin.
F	Laboratory does not know how to operate/use its own facility adequately.

Science Program Office¹	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Basic Energy Sciences					
2.1 Provide Effective Facility Design(s)			0%		
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			0%		
2.3 Provide Efficient and Effective Operation of Facilities			70%		
2.4 Effective Utilization of Facility to Grow and Support the Laboratory's Research Base			30%		
Overall BES Total					
Office of Biological and Environmental Research					
2.1 Provide Effective Facility Design(s)			0%		
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			0%		
2.3 Provide Efficient and Effective Operation of Facilities			0%		
2.4 Effective Utilization of Facility to Grow and Support the Laboratory's Research Base			0%		
Overall BER Total					
Office of Advanced Scientific Computing Research					
2.1 Provide Effective Facility Design(s)			0%		
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			0%		
2.3 Provide Efficient and Effective Operation of Facilities			0%		
2.4 Effective Utilization of Facility to Grow and Support the Laboratory's Research Base			0%		
Overall ASCR Total					

Table 2.1 – 2.0 Program Office Performance Goal Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Basic Energy Sciences			91%		
Office of Biological and Environmental Research			3%	0	
Office of Advanced Scientific Computing Research			6%	0	
Overall Program Office Total					

Table 2.2 – Overall Performance Goal Score Development²

¹ A complete listing of S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I to this plan.

² Weightings for each Customer listed within Table 2.2 are preliminary, based upon FY 2005 Budget Authority figures, and are provided for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2006.

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 2.3 – 2.0 Goal Final Letter Grade

3.0 Provide Effective and Efficient Science and Technology Program Management{ TC "3.0 Provide Effective and Efficient Science and Technology Program Management" \f C \l "1" }

The Contractor provides effective program vision and leadership; strategic planning and development of initiatives; recruits and retains a quality scientific workforce; and provides outstanding research processes, which improve research productivity.

The weight of this Goal is 29.85%.

The Provide Effective and Efficient Science and Technology Program Management Goal shall measure the Contractor's overall management in executing S&T programs. Dimensions of program management covered include: 1) providing key competencies to support research programs to include key staffing requirements; 2) providing quality research plans that take into account technical risks, identify actions to mitigate risks; and 3) maintaining effective communications with customers to include providing quality responses to customer needs.

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science Program Office as identified below. The overall Goal score from each Program Office is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 3.1). Weightings for each office listed below are preliminary, based upon FY 2005 Budget Authority figures, and are provided here for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2006.

- Office of Basic Energy Sciences (BES) (91%)
- Office of Advanced Scientific Computing Research (ASCR) (6%)
- Office of Biological and Environmental Research (BER) (3%)
- Office of Workforce Development for Teachers and Scientists (WDTS) (<1%)

The overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see Table 3.2 below). The overall score earned is then compared to Table 3.3 to determine the overall letter grade for this Goal. Individual Program Office weightings for each of the Objectives identified below are provided within Table 3.1. The Contractor's success in meeting each Objective shall be determined based on the Contractor's performance as viewed by the Office of Science Program Offices for which the Laboratory conducts work.

Objectives:

3.1 Provide Effective and Efficient Stewardship of Scientific Capabilities and Program Vision{ TC "3.1 Provide Effective and Efficient Stewardship of Scientific Capabilities and Program Vision" \f C \l "1" }

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by peer reviews, existence and quality of strategic plans as determined by SC and scientific community review, Program Office reviews/oversight, etc.:

- Efficiency and Effectiveness of joint planning (e.g., workshops) with outside community;
- Articulation of scientific vision;
- Development of core competencies, ideas for new facilities and research programs; and
- Ability to attract and retain highly qualified staff.

A to A+	Providing strong programmatic vision that extends past the laboratory and for which the lab is a recognized leader within SC and in the broader research communities; development and maintenance of outstanding core competencies, including achieving superior scientific excellence in both exploratory, high-risk research and research that is vital to the DOE/SC
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	missions; attraction and retention of world-leading scientists; recognition within the community as a world leader in the field.
B+	Coherent programmatic vision within the laboratory with input from and output to external research communities; development and maintenance of strong core competencies that are cognizant of the need for both high-risk research and stewardship for mission-critical research; attracting and retaining scientific staff who are very talented in all programs.
B	Programmatic vision that is only partially coherent and not entirely well connected with external communities; development and maintenance of some, but not all core competencies with attention to, but not always the correct balance between, high-risk and mission-critical research; attraction and retention of scientific staff who talented in most programs.
C	Failure to achieve a coherent programmatic vision with little or no connection with external communities; partial development and maintenance of core competencies (i.e., some are neglected) with imbalance between high-risk and mission-critical research; attracting only mediocre scientists while losing the most talented ones.
D	Minimal attempt to achieve programmatic vision; little ability to develop any core competencies with a complete lack of high-risk research and ignorance of mission-critical areas; minimal success in attracting even reasonably talented scientists.
F	No attempt made to achieve programmatic vision; no demonstrated ability to develop any core competencies with a complete lack of high-risk research and ignorance of mission-critical areas; failure to attract even reasonably talented scientists.

3.2 Provide Effective and Efficient Science and Technology Project/Program Planning and Management{ TC "3.2 Provide Effective and Efficient Science and Technology Project/Program Planning and Management" \f C \l "1" }

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by peer reviews, existence and quality of strategic plans as determined by SC and scientific community review, Program Office and scientific community review/oversight, etc.:

- Quality of R&D and/or user facility strategic plans
- Adequacy in considering technical risks;
- Success in identifying/avoiding technical problems;
- Effectiveness in leveraging (synergy with) other areas of research; and
- Demonstration of willingness to make tough decisions (i.e., cut programs with sub-critical mass of expertise, divert resources to more promising areas, etc.).

A to A+	Research plans are proactive, not reactive, as evidenced by making hard decisions and taking strong actions; plans are robust against budget fluctuations – multiple contingencies planned for; new initiatives are proposed and funded through reallocation of resources from less effective programs; plans are updated regularly to reflect changing scientific and fiscal conditions; plans include ways to reduce risk, duration of programs.
B+	Plans are reviewed by experts outside of lab management and/or include broadly-based input from within the laboratory; research plans exist for all program areas; plans are consistent with known budgets and well-aligned with DOE interests; work follows the plan.
B	Research plans exist for all program areas; work follows the plan.
C	Research plans exist for most program areas; work does not always follow the plan.
D	Plans do not exist for a significant fraction of the lab's program areas, or significant work is conducted outside those plans.
F	No planning is done.

**3.3 Provide Efficient and Effective Communications and Responsiveness to Customer Needs{ TC
"3.3 Provide Efficient and Effective Communications and Responsiveness to Customer Needs" \f
C \l "1" }**

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by Program Office reviews/oversight, etc.:

- The quality, accuracy and timeliness of response to customer requests for information;
- The extent to which the Contractor keeps the customer informed of both positive and negative events at the Laboratory so that the customer can deal effectively with both internal and external constituencies; and
- The ease of determining the appropriate contact (who is on-point for what).

A to A+	Communication channels are well-defined and information is effectively conveyed; important or critical information is delivered in real-time; responses to HQ requests for information from laboratory representatives are prompt, thorough, correct and succinct; laboratory representatives <i>always</i> initiate a communication with HQ on emerging issues there are no surprises.
B⁺	Good communication is valued by all staff throughout the contractor organization; responses to requests for information are thorough and are provided in a timely manner; the integrity of the information provided is never in doubt
B	Evidence of good communications is noted throughout the contractor organization and responses to requests for information provide the minimum requirements to meet HQ needs; with the exception of a few minor instances HQ is alerted to emerging issues.
C	Laboratory representatives recognize the value of sound communication with HQ to the mission of the laboratory. However, laboratory management fails to demonstrate that its employees are held accountable for ensuring effective communication and responsiveness; laboratory representatives do not take the initiative to alert HQ to emerging issues.
D	Communications from the laboratory are well-intentioned but generally incompetent; the laboratory management does not understand the importance of effective communication and responsiveness to the mission of the laboratory.
F	Contractor representatives are openly hostile and/or non-responsive – emails and phone calls are consistently ignored; communications typically do not address the request; information provided can be incorrect, inaccurate or fraudulent – information is not organized, is incomplete, or is fabricated.

Science Program Office¹	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Research Basic Energy Sciences					
3.1 Effective and Efficient Stewardship			40%		
3.2 Project/Program Planning and Management			30%		
3.3 Communications and Responsiveness			30%		
Overall BES Total					
Office of Advanced Scientific Computing Research					
3.1 Effective and Efficient Stewardship			35%		
3.2 Project/Program Planning and Management			35%		
3.3 Communications and Responsiveness			30%		
Overall ASCR Total					
Office of Biological and Environmental Research					
3.1 Effective and Efficient Stewardship			20%		
3.2 Project/Program Planning and Management			30%		
3.3 Communications and Responsiveness			50%		
Overall BER Total					
Office of Workforce Development for Teachers and Scientists					
3.1 Effective and Efficient Stewardship			20%		
3.2 Project/Program Planning and Management			40%		
3.3 Communications and Responsiveness			40%		
Overall WDTS Total					

Table 3.1 – 3.0 Program Office Performance Goal Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Basic Energy Sciences			91%		
Office of Advanced Scientific Computing Research			6%		
Office of Biological and Environmental Research			3%		
Office of Workforce Development for Teachers and Scientists			>1%		
Overall Program Office Total					

Table 3.2 – Overall Performance Goal Score Development²

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 3.3 – 3.0 Goal Final Letter Grade

¹ A complete listing of the S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I to this plan.

² Weightings for each Customer listed within Table 3.1 and Table 3.2 are preliminary, based upon FY 2005 Budget Authority figures, and are provided for informational purposes only. Final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2006.

Attachment I

Office of Science Program Office Goal & Objective Weightings for FY 2006

SC Program Offices	ASCR	BES	BER	WDTS
Goal 1 - Mission Accomplishment				
Goal Weight	70%	65%	75%	65%
1.1 Impact	40%	50%	30%	25%
1.2 Leadership	30%	20%	20%	30%
1.3 Output	15%	15%	20%	30%
1.4 Delivery	15%	15%	30%	15%
Goal 2 - Design, Fabrication, Construction and Operation of Facilities				
Goal Weight	0	5	0	0
2.1 Design of Facility	0	0	0	0
2.2 Construction of Facility/Fabrication	0	0	0	0
2.3 Operation of Facility	0	70%	0	0
2.4 Utilization of Facility to Grow and Support Lab's Research Base	0	30%	0	0
Goal 3 -The Contract Provides Effective and Efficient Science and Technology Research Project/Program Management				
Goal Weight	30%	30%	25%	35%
3.1 Stewardship of Scientific Capabilities and Programmatic Vision	35%	40%	20%	20%
3.2 Program Planning and Management	35%	30%	30%	40%
3.3 Program Management – Communication and Responsiveness to HQ	30%	30%	50%	40%

4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory{ TC "4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory" \f C \l "1" }

The Contractor's Leadership provides effective and efficient direction in strategic planning to meet the mission and vision of the overall Laboratory; is accountable and responsive to specific issues and needs when required; and corporate office leadership provides appropriate levels of resources and support for the overall success of the Laboratory.

The weight of this Goal is 20%.

The Provide Sound and Competent Leadership and Stewardship of the Laboratory Goal shall measure the Contractor's Leadership capabilities in leading the direction of the overall Laboratory. It also measures the responsiveness of the Contractor to issues and opportunities for continuous improvement and corporate office involvement/commitment to the overall success of the Laboratory.

Each Objective within this Goal is to be assigned the appropriate numerical score by the evaluating office as described within Section I of this document. Each Objective has one or more key measures, the outcomes of which collectively assist the evaluating office in determining the Contractor's overall performance in meeting that Objective. Each of the key measures identifies significant tasks, activities, requirements, accomplishments, and/or milestones for which the outcomes/results of are important to the success of the corresponding Objective. Although other performance information available to the evaluating office from other sources may be used, the outcomes of key measures identified for each Objective shall be the primary means of determining the Contractor's success in meeting an Objective. The overall Goal score is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 4.1 at the end of this section). The overall score earned is then compared to Table 4.2 to determine the overall Goal letter grade.

4.1 Provide a Distinctive Vision for the Laboratory and an Effective Plan for Accomplishment of the Vision to Include Strong Partnerships Required to Carry Out those Plans{ TC "4.1 Provide a Distinctive Vision for the Laboratory and an Effective Plan for Accomplishment of the Vision to Include Strong Partnerships Required to Carry Out those Plans" \f C \l "1" }

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Quality of the Vision developed for the Laboratory and effectiveness in identifying its distinctive characteristics;
- Quality of Strategic/Work Plan for achieving the approved Laboratory vision;
- Quality of required Laboratory Business Plan;
- Ability to establish and maintain long-term partnerships/relationships that advance/expand ongoing Laboratory missions and/or provide new opportunities/capabilities; and
- Effectiveness in developing and implementing commercial research and development opportunities that leverage accomplishment of DOE goals and projects with other federal agencies that advances the utilization of Laboratory technologies and capabilities

The overall performance (outcomes/results) of the following set of key measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 35%.

- 4.1a ISU provides effective strategic guidance and support for Ames Laboratory's science programs and operations, strengthening core competencies and growing the Laboratory into the future.
- 4.1b ISU and Ames Laboratory Senior Leadership develop and promote scientific initiatives and continue to seek opportunities to grow the Laboratory consistent with the stated vision.

- 4.1c ISU and the Laboratory develop new, and strengthen existing, mutually beneficial partnerships with key government, industry, university and other Laboratory partners.
- 4.1d The Laboratory Business Plan provides all required data in a clear and concise manner and is completed within established guidelines and schedules.
- 4.1e ISU and Ames Laboratory seek opportunities for public outreach thru science education in concert with DOE.

4.2 Provide for Responsive and Accountable Leadership throughout the Organization{ TC "4.2 Provide for Responsive and Accountable Leadership throughout the Organization" \f C \l "1" }

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- ISU and Ames Laboratory Senior Leadership's ability to instill responsibility and accountability down and through the entire organization; and
- The effectiveness and efficiency of Leadership in identifying and/or responding to Laboratory issues or opportunities for continuous improvement.

The following set of measures shall be used by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 30%.

- 4.2a ISU Senior Leadership is responsive to resolving strategic issues that impact the overall performance of the Laboratory, if any.
- 4.2b ISU and Ames Laboratory's Senior Leadership's response to Laboratory issues is timely and immediate mitigating actions are identified and implemented as appropriate
- 4.2c Leadership proactively implements opportunities for improvement and maintains cognizance of corrective action plans, ensuring timely and effective implementation of corrections

4.3 Provide Efficient and Effective Corporate Support{ TC "4.3 Provide Efficient and Effective Corporate Support" \f C \l "1" }

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Corporate (ISU) involvement in and support of business and other infrastructure process and procedure improvements;
- The willingness to enter into and effectiveness of joint appointments when appropriate; and
- Where appropriate, the willingness to develop and work with the Department in implementing financing agreements to grow the Laboratory.

The following set of measures shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 35%.

- 4.3a ISU participates in peer reviews of Laboratory science programs and provides for review of Laboratory business management and ES&H systems to feed the development of strategic guidance, refine performance measures and assist with enhancing and improving the Laboratory's core competencies.
- 4.3b The Laboratory Director works with the University President and the Provost to identify openings that could be filled with split-appointees that would help grow the Laboratory and enhance core competencies, while supporting the mission of both institutions.
- 4.3c ISU exhibits willingness to consider innovative options, such as third party financing, to grow and/or maintain the Laboratory

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
4.0 Effectiveness and Efficiency of Contractor Leadership and Stewardship					
4.1 Provide a Distinctive Vision for the Laboratory and an Effective Plan for Accomplishment of the Vision to Include Strong Partnerships Required to Carry Out those Plan			35%		
4.2 Provide for Responsive and Accountable Leadership throughout the Organization			30%		
4.3 Provide Efficient and Effective Contractor Support			35%		
Performance Goal 4.0 Total					

Table 4.1 – 4.0 Goal Performance Rating Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 4.2 – 4.0 Goal Final Letter Grade

5.0 Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection{ TC "5.0 Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection" \f C \l "1" }

The Contractor sustains and enhances the effectiveness of integrated safety, health and environmental protection through a strong and well deployed system.

The weight of this Goal is 30%.

The Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection Goal shall measure the Contractor's overall success in preventing worker injury and illness; implement Integrated Safety Management across the organization; and provide effective and efficient environmental protection.

Each Objective within this Goal is to be assigned a numerical score by the evaluating office as described within Section I of this document. Each Objective has one or more measures, the outcomes of which collectively assist DOE in determining the Contractor's overall performance in meeting that Objective. Each of the measures identifies significant tasks, activities, requirements, accomplishments, and/or milestones for which the outcomes/results of are important to the success of the corresponding Objective. Although other performance information available to the DOE from other sources may be used, the outcomes of key measures identified for each Objective shall be the primary means of determining the Contractor's success in meeting an Objective. The overall Goal score is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 5.1 at the end of this section). The overall score earned is then compared to Table 5.2 to determine the overall Goal letter grade.

5.1 Provide a Work Environment that Protects Workers and the Environment{ TC "5.1 Provide a Work Environment that Protects Workers and the Environment" \f C \l "1" }

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The success in reducing accidents, injuries and illnesses and prevention of environmental occurrences.

The overall performance (outcomes/results) of the following set of measures shall be utilized by DOE as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 35%.

- 5.1a The Contractor's success in reducing serious illnesses and injuries as measured by the days away, restricted or transferred (DART) case rate.

Days Away, Restricted, or Transferred (DART) Case Rate – the number of cases of an injury or illness case where the most serious outcome of the case, as identified on the OSHA Form 300 columns H or I, resulted in days away from work or days of job restriction or transfer x 200,000 (100 employees working 40 hours per week for 50 weeks per year) / the actual number of hours worked. SC Goal for 2005 = 0.5 and for 2007 = 0.25.

- 5.1a (1) Targets DART Case Rate for CY 2006.

<u>Target</u>	<u>DART Case Rate</u>
A	<0.45
B	0.45- 1.1 (B+ = 0.5)
C	>1.1- 1.5
D	> 1.5

- 5.1b The Contractor's success in reducing accidents, illnesses and injuries as measured by the total reportable case rate (TRCR)

Total Recordable Case Rate - The number of all occupational illnesses and occupational injuries resulting in loss of consciousness, restriction of work or motion, transfer to another job, or require medical treatment beyond first aid x 200,000 (100 employees working 40 hours per week for 50 weeks per year) / the actual number of hours worked. The SC target for 2005 = 1.10 and for 2007 = 0.87.

- 5.1b (1) Targets TRCR for CY 2006.

<u>Target</u>	<u>TRCR</u>
A	< 1.0
B	1.0 - 1.5 (B+ = 1.1)
C	>1.5 - 1.9
D	> 1.9

- 5.1c The number of reportable occurrences related to environmental compliance
5.1 c (1) No more than a single environmental compliance occurrence that meets the thresholds for ORPS reporting at a significance category level 1, 2, or 3 will be considered a B+.

- 5.1d Completion of corrective actions related to ES&H reviews and reportable events, as designated and agreed to by the Laboratory and Ames Site Office within the scheduled due date. All changes in scheduled due dates must be agreed to by Ames Site Office.

- 5.1d (1) Target

<u>Target Levels</u>	<u>Expectation</u>
A	0-1 corrective actions are not completed as scheduled.
B	2-3 corrective actions are not completed as scheduled. (B+ =2 not completed as scheduled)
C	4-5 corrective actions are not completed as scheduled.
D	more than 5 corrective actions are not completed as scheduled.

- 5.1e The strength of the Laboratory's Independent Walk-through Program, as measured by performance of walk-throughs of laboratory spaces by a team of safety specialists, with participation by Senior Management.
5.1e (1) To meet expectations (B+), Senior Laboratory Management participates in $\geq 85\%$ of Walkthroughs.
5.1e (2) To meet expectations (B+), inspections of 100% of the Laboratory space is completed during FY 2006.

5.2 Provide Efficient and Effective Implementation of Integrated Safety, Health and Environment Management{ TC "5.2 Provide Efficient and Effective Implementation of Integrated Safety, Health and Environmental Management" \f C \l "1" }

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The commitment of leadership to an effective Integrated Safety Management System is demonstrated;
- Processes are implemented to identify and control hazards and
- ISM is effectively implemented by line management across the Laboratory.

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 35%.

- 5.2a Commitment to hazard awareness is demonstrated by employee completion of required ESH training.
 - 5.2a (1) To meet the target expectation (B+) 90% of mandatory ES&H training is completed on time.
 - 5.2a (2) To meet the target expectation (B+), upon completion of a new employee's Training Needs Questionnaire (TNQ) the resulting Employee Training Profiles will be provided to the employee and the employee's supervisor. Also, quarterly Training Summary Reports will be provided to supervisors indicating all mandatory training modules and completion statistics, including a list of employees with pending mandatory training. The purpose of the communication is to reinforce the supervisor's awareness to ensure that employees are compliant with mandatory training and specifically note the critical importance of training for student employees. New software will allow for improved tracking of training records for specific work groups, such as graduate students, undergraduate students by individual training module.
- 5.2b Completion rate of concerns identified during the Annual Independent Walk-through which are completed within scheduled time period.
 - 5.2b (1) To meet the target expectation (B+), 90% of the concerns identified during the annual independent walk-throughs are completed within the scheduled time period.
- 5.2c The strength of the Laboratory's program to improve safety systems as measured by the quality and number of Topical Appraisals of ES&H.
 - 5.2c (1) To meet the target expectation (B+), internal topical appraisals are completed annually to address issues identified and agreed to by the Laboratory and Ames Site Office.
- 5.2d Repeat findings are minimized by effective causal analysis and corrective action development and implementation.
 - 5.2d (1) To meet the target expectation (B+) repeat findings do not account for more than 7% of all internal and external appraisal findings.
- 5.2e The strength of the Laboratory's processes to plan work safely as measured by completion and/or updating of readiness reviews.
 - 5.2e(1) To meet target (B+), 100% of readiness reviews are completed by the scheduled review date and in all cases prior to work beginning.
 - 5.2e (2) No work processes are observed that have not been properly reviewed..
- 5.2f The Laboratory implements effective systems of reporting ESH concerns and conducting causal analyses.
 - 5.2f (1) To meet target (B+) all ORPS and PAAA concerns and events are reported consistent with requirements and within the specified time periods.
- 5.2g The Laboratory will conduct quarterly forums with safety specialists from Iowa State University's Environment Health and Safety Department and student representatives to discuss safety program improvements and share lessons learned from DOE and ISU and other academic institutions.

5.3 Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention{ TC "5.3 Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention" \f C \l "1" }

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Effective implementation of the Laboratory's Environmental Management System and
- Efficiency and Effectiveness of efforts to minimize the generation of waste.

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 30%.

5.3a Success in implementation of the Laboratory's Environmental Management System
5.3a (1) To meet the target (B+) the Laboratory fully implements the EMS and integrates it under the ISMS by 12/31/05.

5.3b Success in ongoing efforts to reduce hazardous waste
5.3b (1) All new activities will be specifically reviewed for waste minimization efforts. These reviews will be documented in the individual readiness reviews.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
5.0 Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection					
5.1 Provide a Work Environment that Protects Workers and the Environment			35%		
5.2 Provide Efficient and Effective Implementation of Integrated Safety, Health and Environmental Management			35%		
5.3 Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention			30%		
Performance Goal 5.0 Total					

Table 5.1 – 5.0 Goal Performance Rating Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 5.2 – 5.0 Goal Final Letter Grade

6.0 Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of the Laboratory Mission(s){ TC "6.0 Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of the Laboratory Mission(s)" \f C \l "1" }

The Contractor sustains and enhances core business systems that provide efficient and effective support to Laboratory programs and its mission(s).

The weight of this Goal is 20%.

The Provide Business Systems that Efficiently and Effectively Support the Overall Mission of the Laboratory Goal shall measure the Contractor's overall success in deploying, implementing, and improving integrated business system that efficiently and effectively support the mission(s) of the Laboratory.

Each Objective within this Goal is to be assigned the appropriate numerical score by DOE as described within Section I of this document. Each Objective has one or more measures, the outcomes of which collectively assist the evaluating office in determining the Contractor's overall performance in meeting that Objective. Each of the measures identifies significant tasks, activities, requirements, accomplishments, and/or milestones for which the outcomes/results of are important to the success of the corresponding Objective. Although other performance information available to the evaluating office from other sources may be used, the outcomes of key measures identified for each Objective shall be the primary means of determining the Contractor's success in meeting an Objective. The overall Goal score is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 6.1 at the end of this section). The overall score earned is then compared to Table 6.2 to determine the overall Goal letter grade.

6.1 Provide an Efficient, Effective, and Responsive Financial Management System(s){ TC "6.1 Provide an Efficient, Effective, and Responsive Financial Management System(s)" \f C \l "1" }

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Demonstration of efficient and effective financial management system(s) support;
- The effectiveness of the financial management system(s) as validated by internal and external audits and reviews;
- The continual improvement of financial management system(s) through the use of results of audits, review, and other information; and
- The degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff.

The overall performance (outcomes/results) of the following set of key measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 30%.

- 6.1a Demonstrate an effective financial management system through external reviews, surveys and inspections and routine communication with AMSO and the Chicago Office.
- 6.1b Control uncosted balances as measured by the percentage of uncosted balances to total available cost (TAC). (Only uncosted balances that exceeded \$1 million at the four-digit B&R level will be included in this evaluation)
 - 6.1b (1) Acceptable range for Operating costs are less than or equal to 13% of TAC and acceptable range of Capital Equipment costs is less than or equal to 50% of TAC.

- 6.1c Contractor billings should conform to signed Work For Others agreements in that total billing should not exceed agreement amounts, funding expiration dates should be observed, and closeouts should be initiated promptly upon completion of work.
6.1c (1) Zero billing errors on non-ISU invoices

6.2 Provide an Efficient, Effective, and Responsive Acquisition and Property Management System(s){ TC "6.2 Provide an Efficient, Effective, and Responsive Acquisition and Property Management System(s)" \f C \l "1" }

In measuring the performance of this Objective the DOE evaluator shall consider the following:

- Demonstration of efficient and effective acquisition and property management system(s) support;
- The effectiveness of the acquisition and property management system(s) as validated by internal and external audits and reviews;
- The continual improvement of acquisition and property management system(s) through the use of results of audits, review, and other information; and
- The degree of knowledge and appropriate utilization of established system processes/procedures by management and staff.

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 10%.

- 6.2a Demonstrate effective acquisition and property management systems through external reviews, surveys, inspections and ongoing communication with the AMSO and the Chicago Office.
- 6.2b Perform Procurement Balanced Scorecard evaluation in accordance with the FY 2006 Balanced Scorecard Plan and successfully meet at least 11 of the BSC targets.
- 6.2c Perform Property Balanced Scorecard evaluation in accordance with the FY 2006 Balanced Scorecard Plan and successfully meet at least 90% of the BSC targets.

6.3 Provide an Efficient, Effective & Responsive Human Resources Management System{ TC "6.3 Provide an Efficient, Effective & Responsive Human Resources Management System" \f C \l "1" }

In measuring the performance of this Objective the DOE evaluator shall consider the following:

- Demonstration of efficient and effective human resources management system support;
- The effectiveness of the human resources management system as validated by internal and external audits and reviews;
- The continual improvement of the human resources management system through the use of results of audits, reviews, and other information; and
- The degree of knowledge and appropriate utilization of established system processes and procedures by Contractor management and staff.

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 10%.

- 6.3a Effectiveness of HR systems processes and services as validated through the use of a customer service survey.
 - 6.3a (1) Overall customer feedback is between 2 and 2.5 on a five point scale or action plans are implemented and measurable progress and actions have been taken.
- 6.3b Success in attraction and/or retention of highly qualified employees
 - 6.3b (1) In-hire compensation package assures 85% acceptance rate
 - 6.3b (2) Voluntary turnover (i.e. departure of any benefits-eligible employee from Ames Lab for any reason) is lower than ISU by 15-25%
- 6.3c Demonstrate effective compensation management through alignment with competitive market.
 - 6.3c (1) Benchmark 85% of Ames Lab's scientific jobs against market to validate accuracy
 - 6.3c (2) Evaluate any difference between market rates and internal value to validate Lab's salary ranges for scientific jobs
- 6.3d Maintains a systematic approach to the recruiting and retention of new talent from diverse populations
- 6.3e The University's Diversity retrain module will be completed and placed on-line; and Laboratory management will actively encourage staff to complete the retraining.
- 6.3f Increase diversity in the workforce through participation of minorities and women in feeder programs (such as, two year training programs, four year colleges, and graduate level) and increase participation by technical staff in hosting minority and female students in their respective departments.

6.4 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate{ TC "6.4 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate" \f C \l "1" }

In measuring the performance of this Objective the DOE evaluator shall consider the following:

- Demonstration of efficient and effective management systems support;
- The effectiveness of the management systems as validated by internal and external audits and reviews;
- The continual improvement of management systems through the use of results of audits, review, and other information; and
- The degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff.

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 30%.

- 6.4a Demonstrate effective Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services management systems through reviews, surveys and inspections
- 6.4b Completion of corrective actions from reviews surveys and inspections in accordance with approved Corrective Action Plans
- 6.4c Percentage of unlimited-distribution technical reports, which are issued during the fiscal year, and are available to DOE-OSTI in full-text electronic form within 15 business days of Ames Laboratory receipt.
- 6.4d The Laboratory provides effective tactical IT planning in support of the Laboratory's mission and goals
 - 6.4d(1) FY 2006 IM plans are in alignment with the Laboratory's Operations and Infrastructure Strategic Plan; IT related goals and strategies are in place by December 31, 2005.

- 6.4d(2) FY 2007 IM plans are in alignment with the Laboratory's Operations and Infrastructure Strategic Plan ; IT related goals and strategies are in place by September 30, 2006.
- 6.4e The Information Management Program provides cost effective products and improved services.
6.4e(1) Information management accomplishments completed based on FY 2006 IM plans and demonstrate measurable improvement and cost effective IM services and products.
- 6.4f IM products and services meet customer requirements as demonstrated by customer feedback.
- 6.4g The Laboratory utilizes the Public Affairs Peer Review process effectively to implement improvement opportunities.
- 6.4h Laboratory Public Affairs executes integrated communication plans for cutting-edge research and technology accomplishments.

6.5 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets{ TC "6.5 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets" \f C \l "1" }

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The proper stewardship of intellectual assets and Laboratory owned or originated technology;
- The market impacts created/generated as a result of technology transfer and deployment activities; and
- Communication products contributing to the transfer of Laboratory originated knowledge and technology.

The overall performance (outcomes/results) of the following set of key measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 20%.

- 6.5a Royalty income is used according to the DOE approved Royalty Plan and funds are accounted for and audited in accordance with requirements.
- 6.5b Demonstrates success in meeting technology transfer and commercialization management goals and expectations.
- 6.5c The Laboratory takes a proactive approach to public outreach through such activities as maintaining current information on its Web pages, conducting presentations, issuing press releases and newsletters, distributing up-to-date pamphlets, and attending meetings and conferences where potential collaborations can be nurtured.
- 6.5d The Ames Laboratory Technology Partnering program is managed efficiently and effectively to ensure compliance with applicable laws and authorities and project records are complete and contain appropriate documentation to demonstrate compliance.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
6.0 Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of the Laboratory Mission(s)					
6.1 Provide an Efficient, Effective, and Responsive Financial Management System(s)			30%		
6.2 Provide an Efficient, Effective, and Responsive Acquisition and Property Management System(s)			10%		

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
6.3 Provide an Efficient, Effective, and Responsive Human Resources Management System			10%		
6.4 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate			30%		
6.5 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets			20%		
Performance Goal 6.0 Total					

Table 6.1 – 6.0 Goal Performance Rating Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 6.2 – 6.0 Goal Final Letter Grade

7.0 Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs{ TC "7.0 Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs" \f C \l "1" }

The Contractor provides appropriate planning for, construction and management of Laboratory facilities and infrastructures required to efficiently and effectively carry out current and future S&T programs.

The weight of this Goal is 20%.

The Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs Goal shall measure the overall effectiveness and performance of the Contractor in planning for, delivering, and operations of Laboratory facilities and equipment needed to ensure required capabilities are present to meet today's and tomorrow's complex challenges.

Each Objective within this Goal is to be assigned the appropriate numerical score by DOE as described within Section I of this document. Each Objective has one or more measures, the outcomes of which collectively assist the evaluating office in determining the Contractor's overall performance in meeting that Objective. Each of the measures identifies significant tasks, activities, requirements, accomplishments, and/or milestones for which the outcomes/results of are important to the success of the corresponding Objective. Although other performance information available to the evaluating office from other sources may be used, the outcomes of key measures identified for each Objective shall be the primary means of determining the Contractor's success in meeting an Objective. The overall Goal score is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 7.1 at the end of this section). The overall score earned is then compared to Table 7.2 to determine the overall Goal letter grade.

7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage and Minimizes Life Cycle Costs{ TC "7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage and Minimizes Life Cycle Costs" \f C \l "1" }

In measuring the performance of this Objective the DOE evaluator shall consider the following:

- The management of real property assets to maintain effective operational safety, worker health, environmental protection and compliance, property preservation, and cost effectiveness while meeting program missions, through effective facility utilization, maintenance and budget execution;
- The day-to-day management and utilization of space in the active portfolio;
- The maintenance and renewal of building systems, structures and components associated with the Laboratory's facility and land assets; and
- The management of energy use and conservation practices.

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 80%.

7.1a The Maintenance Investment Index (MII) for the fiscal year associated with the performance period.

The MII, expressed as a percentage, is defined as the Actual OE funded Maintenance and Repair (M&R) Expenditures (at the end of the fiscal year associated with the performance period) divided by the Replacement Plant Value (RPV).

$$MII = \frac{\text{Actual Maintenance Expenditures}}{RPV (\$)}$$

7.1a (1) MII Target for CY 2006; B+ level = 1.8:

7.1b The Facility Condition Index (FCI)

The FCI, expressed as a percentage, is defined as the Total Needed OE funded Maintenance and Repair (M&R) Deficiencies (at the end of the fiscal year associated with the performance period) divided by the Replacement Plant Value (RPV).

$$FCI = \frac{\text{Total Needed M \& R Deficiencies (\$)}}{RPV (\$)}$$

7.1b (1) FCI Target for CY 2006; B+ level = 1.9 – 2.5

7.1c Successful implementation of facility improvements that achieve cost savings in the form of material or contract dollars that will not need to be spent for facility maintenance.

7.1d Effective execution of the goals within the Energy Performance Management Agreement
7.1d (1) Target expectation B+ - 75% of the Energy requirements scheduled to be accomplished during the Fiscal Year in accordance with the Current Energy Management Plan (CEMP) are completed.

<u>Target</u>	<u>CEMP % Requirements Completed</u>
A	78 %
B+	75 %

C+	72 %
D	69 %

7.1d (2) Target expectation B+ - Energy use per gross square foot is less than the previous year as negotiated between the DOE and the lab.

<u>Targets</u>	<u>Energy Use Rating Scale</u>
A	> 0.05
B+	0.034 - 0.033
C+	0.027 - 0.026
D	0.020 – 0.010

7.1d (3) Demonstrate commitment to purchases of energy efficient products including products with low standby power devices.

<u>Target</u>	<u>Energy Efficient Products Rating Scale</u>
A	> 10
B+	7
C+	4
D	1

7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to support Future Laboratory Programs{ TC "7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to support Future Laboratory Programs" \f C \l "1" }

In measuring the performance of this Objective the DOE evaluator shall consider the following:

- Integration and alignment of the Ten Year Site Plan to the Laboratory's comprehensive strategic plan;
- The facility planning, forecasting, and acquisition for effective translation of business needs into comprehensive and integrated facility site plans;
- The effectiveness in producing quality site and facility planning documents as required;
- The involvement of relevant stakeholders in all appropriate aspects of facility planning and preparation of required documentation;
- Efficiency in meeting Cost and Schedule Performance Index for construction projects (when appropriate).
- Overall responsiveness to customer mission needs

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by DOE evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 20%.

- 7.2a Facility planning, forecasting, and acquisition activities translate needs and facility condition information into useful strategic plans
- 7.2b The Ten Year Site Plan and the IFI Budget are submitted according to the required schedule and demonstrate effective and realistic facility planning
- 7.2c The management information systems development projects are executed in accordance with generally acceptable project management practices.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
7.0 Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs					
7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage and Minimizes Life Cycle Costs			80%		
7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to support Future Laboratory Programs			20%		
Performance Goal 7.0 Total					

Table 7.1 – 7.0 Goal Performance Rating Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 7.2 – 7.0 Goal Final Letter Grade

8.0 Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) and Emergency Management Systems{ TC "8.0 Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) and Emergency Management Systems" \f C \l "1" }

The Contractor sustains and enhances the effectiveness of integrated safeguards and security and emergency management through a strong and well deployed system.

The weight of this Goal is 10%.

The Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) and Emergency Management Systems Goal shall measure the Contractor's overall success in safeguarding and securing Laboratory assets that supports the mission(s) of the Laboratory in an efficient and effective manner and provides an effective emergency management program.

Each Objective within this Goal is to be assigned the appropriate numerical score by the evaluating office as described within Section I of this document. Each Objective has one or more key measures, the outcomes of which collectively assist the evaluating office in determining the Contractor's overall performance in meeting that Objective. Each of the key measures identifies significant tasks, activities, requirements, accomplishments, and/or milestones for which the outcomes/results of are important to the success of the corresponding Objective. Although other performance information available to the evaluating office from other sources may be used, the outcomes of key measures identified for each Objective shall be the primary means of determining the Contractor's success in meeting an Objective. The overall Goal score is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 8.1 at the end of this section). The overall score earned is then compared to Table 8.2 to determine the overall Goal letter grade.

8.1 Provide an Efficient and Effective Emergency Management System{ TC "8.1 Provide an Efficient and Effective Emergency Management System" \f C \l "1" }

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The Contractor's success in meeting Emergency Management goals and expectations;
- The commitment of leadership to a strong Emergency Management performance is appropriately demonstrated; and
- The maintenance and appropriate utilization of Emergency Management procedures and processes are effectively demonstrated.

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 35%.

- 8.1a Emergency Management events are mitigated and reporting is done according to requirements
- 8.1b Results of reviews, surveys, and inspections demonstrate that Emergency Management systems are effective
- 8.1c Employee and Management are trained in their Emergency Management responsibilities
- 8.1d 90% of the corrective actions associated with Emergency Management reviews are completed in accordance with scheduled due dates.

8.2 Provide an Efficient and Effective System for Cyber-Security{ TC "8.2 Provide an Efficient and Effective System for Cyber-Security" \f C \l "1" }

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The Contractor's success in meeting Cyber-Security goals and expectations;
- The commitment of leadership to a strong Cyber-Security performance is appropriately demonstrated;
- Integration of Cyber-Security into the culture of the organization for effective deployment of the system is demonstrated; and
- The maintenance and appropriate utilization of Cyber-Security risk identification, prevention, and control processes/activities.

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 50%.

- 8.2a The status of the Cyber Security Program is reported in accordance with FISMA and NIST Guidance and Cyber-Security Events are reported and mitigated as necessary.

8.2a(1) Target Levels

[A] - In addition to below, incident reporting includes analysis of causal factors, impact to network security, and evaluation of corrective actions to prevent re-occurrence.

[B+] - In addition to below, Plan of Action and Milestones (POAMs) reporting is accompanied by a security status update for each cyber enclave. Incident reporting includes all classes of incidents from DOE Manual 205.1-1.

[C+] - In addition to below, Plan of Action and Milestones (POAMs) reporting addresses all issues from external reviews and the program self assessment. All incident reporting to CIAC is compliant with CIAC issued procedures.

[D] - POAMs are reported on a quarterly basis and system re-certification and re-accreditation is accomplished in required timeframes. System root compromises are reported to CIAC. In the event there are no incidents, a negative report is submitted.

- 8.2b Establish and maintain a program of system and network configuration management for each defined system enclave.

8.2b(1) Target Levels

[A] - In addition to below, systems for automated patch management have been implemented for prevalent system environments.

[B+] - In addition to below, configuration guidelines are reviewed quarterly and updated as needed to address security advisories.

[C+] - In addition to below, specific configuration guidelines address prevalent system environments.

[D] - General Configuration guidelines are adopted and distributed to system administrators.

- 8.2c Conduct a robust program of vulnerability scanning to include but not be limited to: 1) semi-annual network vulnerability scans on network systems that provide communications services visible to the public Internet community and 2) network vulnerability scans on the Ames Laboratory internal network systems so that all systems are scanned each year

- 8.2d Demonstrate promptness in correcting identified vulnerabilities and addressing corrective actions associated with reviews according to schedule. Ensure that the identified high-risk vulnerabilities on high risk systems, as defined by the Ames Laboratory Risk Management Plan, are addressed through corrective action or document the reasons for accepting the risk. Justified exceptions are to be approved by the Ames Site Office. High risk vulnerabilities on high risk systems will be addressed within 30 business days of discovery and moderate vulnerabilities on high risk systems within 80 business days.

Ensure that high and moderate vulnerabilities on identified critical and/or sensitive systems are addressed within 30 business days of discovery. Document the reasons for accepting the risk and identify the corrective measures taken that reduce the risk these systems have on the internal and external networks.

8.2d(1) Target Levels

<u>Target Level</u>	<u>% Vulnerabilities addressed within Schedule</u>
[A]	95%
[B+]	90%
[C+]	85%
[D]	<80%

- 8.2e Employee and Management awareness of their Cyber-Security responsibilities.

8.2e(1)

<u>Target Level</u>	<u>% Training Completed within Schedule</u>
[A]	97%
[B+]	90%
[C+]	85%
[D]	<80%

8.3 Provide an Efficient and Effective System for the Protection of Special Nuclear Materials, Classified Matter, and Property{ TC "8.3 Provide an Efficient and Effective System for the Protection of Special Nuclear Materials, Classified Matter, and Property" {f C \l "1" }

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The Contractor's success in meeting Safeguard goals and expectations;
- The commitment of leadership to strong Safeguards performance is appropriately demonstrated;
- Integration of Safeguards into the culture of the organization for effective deployment of the system is demonstrated; and
- The maintenance and appropriate utilization of Safeguards risk identification, prevention, and control processes/activities.

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 10%.

- 8.3a Incidents of Safeguards and Security concerns are detected, reported, investigated and resolved promptly.
- 8.3b Demonstrate an effective Integrated Safeguards and Security Management System through a thorough annual self-assessment and by positive results from any external reviews surveys and inspections

- 8.3c Corrective actions or compensatory measures for deficiencies are promptly implemented and monitored until resolution
- 8.3d Employee and Management awareness of their Safeguards responsibilities
- 8.3e Vulnerability Assessments accurately address current Laboratory operations.

8.4 Provide an Efficient and Effective System for the Protection of Classified and Sensitive Information{ TC "8.4 Provide an Efficient and Effective System for the Protection of Classified and Sensitive Information" \f C \l "1" }

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The Contractor's success in meeting protection of classified and sensitive information goals and expectations;
- The commitment of leadership to strong protection of classified and sensitive information performance is appropriately demonstrated;
- Integration of protection of classified and sensitive information into the culture of the organization for effective deployment of the system is demonstrated; and
- The maintenance and appropriate utilization of protection of classified and sensitive information risk identification, prevention, and control processes/activities.

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective.

The weight of this Objective is 5%.

- 8.4a The sensitive subjects list is maintained current.
- 8.4b Reporting requirements related to counterintelligence, including trip reports are met on time
- 8.4c Laboratory reports are made promptly to the CH CI Office or the local FBI of any contacts or elicitation attempts with people of any nationality who seek sensitive unclassified information (e.g., proprietary or CRADA information) without proper authorization by any means. This includes any compromising situation or other inconsistencies associated with foreign travel or a visit or assignment.
- 8.4d Counterintelligence awareness training materials are provided effectively to staff.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
8.0 Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM)					
8.1 Provide an Efficient and Effective Emergency Management System			35%		
8.2 Provide an Efficient and Effective System for Cyber-Security			50%		
8.3 Provide an Efficient and Effective System for the Protection of Special Nuclear Materials, Classified Matter, and Property			10%		
8.4 Provide an Efficient and Effective System for the Protection of Classified and Sensitive Information			5%		
Performance Goal 8.0 Total					

Table 8.1 – 8.0 Goal Performance Rating Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 8.2 – 8.0 Goal Final Letter Grade